

EXHIBIT 4

CFTC Letter to JPMC dated November 9, 2020



Division of
Enforcement

COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre
1155 21st Street, NW, Washington, DC 20581
Telephone: (202) 418-5000
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GEORGE H. MALAS
FUTURES TRADING INVESTIGATOR
(202) 418-5249 DIRECT
(202) 818-3129 FACSIMILE
gmalas@cftc.gov

November 9, 2020

VIA UPS OVERNIGHT DELIVERY

JP Morgan Chase Bank, N.A.
National Subpoena Processing Center
Mail Code IN1-4054
7610 West Washington St., Floor 1
Indianapolis, IN 46231

Re: RFPA Subpoena in CFTC v. David Gilbert Saffron, Case No. 2:19-cv-1697-JAD-DJA

Dear Subpoena Processing Department:

Enclosed are three (3) subpoenas *duces tecum* issued by the Division of Enforcement ("Division") of the Commodity Futures Trading Commission ("CFTC") in connection with an ongoing litigation. The Subpoena requires JPMorgan Chase Bank, N.A. to produce certain documents to the CFTC, at 1155 21st Street, N.W., Washington, D.C. 20581 on **December 9, 2020**.

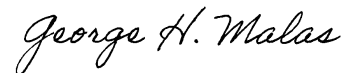
The Subpoenas call for financial records from **Account Number [REDACTED] 3287 in the name of James Damien Scott; Account Number ****2652 in the name of Sterling P. Kerr; and Account Number [REDACTED] 0259 in the name of Vincent Mazzotta**. Section 1103(b) of the Right to Financial Privacy Act ("RFPA"), 12 U.S.C. § 3403(b) (2018), prohibits you from releasing these records to the CFTC until we have furnished you with a certificate of compliance with that Act, which you will receive when the requirements of the applicable provisions of RFPA have been satisfied. We expect to furnish you with such a certificate in approximately 14 days. Please note, however, that upon receipt of this Subpoena you must proceed to assemble the specified records and must be prepared to deliver the records to the CFTC upon receipt of the certificate of compliance. Section 1111 of the RFPA, 12 U.S.C. § 3411. **Please email eLaw-CPI@cftc.gov if you wish to deliver the production via the Commission's secure file transfer protocol (FTP)**. When sending documents via FTP, you MUST include the matter number (A7189) and my name.

Complete instructions for complying with the subpoena may be found in the subpoena and its attachments. Also attached please find a copy of the Commission's *Statement to Persons Directed to Provide Information About Themselves to the Commodity Futures Trading Commission*, which sets forth information explaining certain rights and obligations of witnesses and uses of information submitted to the Commission.

JPMorgan Chase Bank, N.A.
November 9, 2020
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Thank you for your cooperation. If you have any questions, please do not hesitate to contact me at (202) 418-5249.

Sincerely,

A handwritten signature in cursive script that reads "George H. Malas".

George H. Malas
Futures Trading Investigator

Enclosures: Subpoena Duces Tecum (with attachment)
CFTC Data Delivery Standards
Statement to Persons Directed to Provide Information About Themselves to the
Commodity Futures Trading Commission